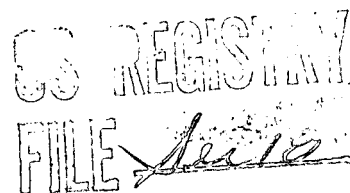


Office of the Director of Central Intelligence

Washington, D.C. 20505



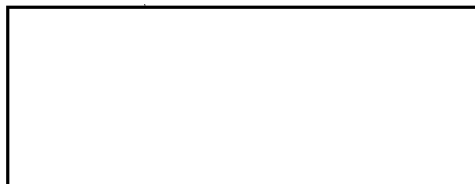
30 September 1980

MEMORANDUM FOR: Members, APEX Steering Group

FROM :
SA to the DCI for Compartmentation

SUBJECT : Preparation of APEX Manuals

In view of the obvious difficulty of implementing APEX without the guidance of the manuals for the various compartments, Steering Group members are requested to urge their organizations to bend every effort to complete the drafting of manuals by 1 November 1980.



OS 0 2495

30 SEP 1980

DAY "ONE"

The following actions will be implemented on the first day of
APEX - (DAY "ONE"):

- o All individuals having access to compartmented information will be APEX indoctrinated and have signed a Nondisclosure Agreement not later than the implementation date.
- o The caveat 'HANDLE VIA APEX CONTROL SYSTEM' will be affixed to all newly created hard copy documentation.
- o The new caveat stamps will be utilized.
- o New APEX Control numbers will be utilized for all newly created hard copy documentation.
- o New APEX cover sheets will be used.
- o New equivalency/conversion tables will be utilized.
- o Understanding that project names or codewords will not be compartmented but may be classified CONFIDENTIAL or SECRET. Will require dissemination of the classification of any project names/codewords that are to be classified.

OS 0 2495

SECRET

WORKING PAPER

DRAFT #8
APEX HUMINT PRODUCT MANUAL
29 September 1980

1. Purpose: This manual establishes procedures for the security, control, use and dissemination within NFIB agencies of APEX HUMINT product.

2. General:

- a. Particularly sensitive TOP SECRET human source reporting determined by the Director of Central Intelligence to warrant the protection of compartmentation constitutes APEX HUMINT product. These strictly controlled hard-copy reports are provided to NFIB agencies for information and positive intelligence exploitation purposes. The threshold criteria established for APEX HUMINT Product are as follows:
 - (1) HUMINT information reporting which, because of its content, unavoidably exposes highly sensitive and vulnerable sources.
 - (2) HUMINT documentary reporting of extraordinary sensitivity.
- b. All HUMINT documents will be identified by an APEX Product (red) cover sheet marked HUMINT and bearing a codeword identifying a specific series of reports. They will bear the APEX Control System caveat REPRODUCTION REQUIRES APPROVAL OF ORIGINATOR.

SECRET

SECRET

- c. Dissemination of each category of the series will be stringently controlled to protect extremely sensitive human sources.

3. Responsibilities: The head of each recipient NFIB agency will designate an officer to serve as that agency's APEX Control Officer responsible for the control, dissemination and security of APEX HUMINT. In addition to the duties of the APEX Control Officer as stated in the APEX Control Manual for Government, this officer will have the following responsibilities:

- a. To act as the authorized representative for all matters pertaining to the secure control and dissemination of APEX HUMINT material.
- b. To implement the instructions in this manual in conformance with policies of the APEX Special Access Control System.
- c. To serve as the single point of contact for coordination of all APEX HUMINT security administration and management matters with organizations and activities outside his agency.
- d. To manage and control distribution of APEX HUMINT material within his agency.
- e. To facilitate a clear, appropriate line of control and communication between the Program Manager originating the HUMINT products and personnel within the recipient agency who review and exploit them.

-2-
SECRET

SECRET

4. Security Controls: Protection of APEX HUMINT products will require extraordinary precautions. The basic objective is to limit the dissemination of APEX HUMINT product to only those individuals who are needed to exploit the material. Access to all reports in these series will be governed by strict need-to-know criteria. Specific guidelines are as follows:

- a. Information in APEX HUMINT products will not be reproduced, referred to or used in any other form (to include sanitized versions) without permission of the originating Program Manager or his designee. Appropriate DCID 1/7 and/or APEX Control System caveats will be used to restrict dissemination.
- b. Analytical information based primarily or partially on APEX HUMINT product may be published and disseminated on a limited basis under ORCON control. Authority for the use of any APEX HUMINT products in such production will rest exclusively with the originating Program Manager or his designee.
- c. Analysts' notes incorporating APEX HUMINT information must be provided the same protection afforded the original documents.
- d. All APEX HUMINT products will be retained in APEX Control Facilities authorized by SIOs to receive and store HUMINT. Designation of ACFs as repositories will be reported promptly to the APEX Control Staff for inclusion in the Central Facilities Registry. APEX HUMINT products will be kept segregated in a manner permitting access to only those persons holding access approval for APEX HUMINT.

SECRET

- e. Requests for waivers of the APEX HUMINT dissemination restrictions set forth in this manual will be made to the Program Manager in writing on an individual basis.
- f. Access to specific series of APEX HUMINT products will be controlled by special access lists. Once an SIO has approved an individual's access to APEX HUMINT and validated his need to know requirements for access to one or more specific series of APEX HUMINT products, the respective agency's APEX Control Officer will enter the individual's name on the appropriate access list(s). These list(s) will govern absolutely the access of individuals to APEX HUMINT categories.
- g. APEX HUMINT products will not be transmitted electrically, except by telephone with the Program Manager only by using National Security Agency-approved secure voice communications. Access approvals to HUMINT may be certified by approved electrical means.
- h. The APEX Control Officer in each agency will keep a record of all HUMINT products provided to each individual. Semiannual reports of the documents seen by each individual will be made to the SIO of each agency receiving HUMINT products. Copies of these reports will be forwarded to the Program Manager.
- i. Inclusion in an access list does not automatically give an individual access to all APEX HUMINT products in that series. Need-to-know criteria must be applied.

SECRET

- j. Each individual granted access to APEX HUMINT products will be indoctrinated by the APEX Control Officer responsible for HUMINT in his agency. Indoctrination will require the individual's signing an APEX Nondisclosure Agreement, unless already accomplished, in which case a HUMINT acknowledgement may be executed. The individual's approval for HUMINT will be recorded promptly in the Central APEX Access Registry.
 - k. APEX GENERAL PHASE II-approved clerical personnel who must see and handle APEX HUMINT must be briefed on the sensitivity of the materials involved.
 - l. Each APEX Control Officer will ensure that his organization's APEX HUMINT access approvals are reported promptly to the Central Access Registry.
 - m. All APEX HUMINT products will be inventoried annually and upon change of control officers. The results of this inventory, including the APEX control numbers of all documents retained, will be provided to the Program Manager.
 - n. Names, mailing addresses, and telephone numbers of individuals designated by SIOs to be APEX Control Officers (or alternate control officers) responsible for HUMINT products will be reported promptly to the Program Manager.
5. Disposition: APEX HUMINT products will not be destroyed by recipient agencies. Documents no longer needed will be returned to the Program Manager for disposition. Notes and analytical memoranda will be destroyed in accordance with APEX Security requirements.

ANNEXES:

- 1. Sanitization Guidelines
- 2. Procedure for Investigation of Compromise

ANNEX 1

SANITIZATION GUIDELINES

1. Sanitization of APEX HUMINT products is the process of removing all references or terminology which will relate the material to the sensitive sources.

2. Data derived from APEX HUMINT and incorporated into an analytical report will be sufficiently "buried" so that the information cannot be attributed accurately to sources or methods of collection.

3. All APEX HUMINT data that is sanitized for exploitation purposes will be submitted to the Program Manager for approval prior to release outside APEX control channels. Individuals who need to sanitize HUMINT product will contact their agency APEX Control Officer responsible for HUMINT after accomplishing the following procedures:

- a. Construct a bibliography keyed to the text of the document to be sanitized, containing the APEX control number, classification, and title of the APEX HUMINT product in reference to specific paragraphs of the subject document.
- b. Submissions must also include the desired classification of the sanitized document, classification authority and regrading instructions, and dissemination list of all intended recipients.

4. Upon approval of the Program Manager, the responsible individuals will inform their agency's Control Officer of the completed sanitized action. A copy of the sanitized document will be provided to the APEX Control Officer and the Program Manager not later than 60 working days following approval action.

ANNEX 2

PROCEDURE FOR HANDLING OF COMPROMISE

1. Any individual having access to APEX HUMINT has the responsibility of immediately reporting to his Control Officer any compromise, or suspicion of compromise, of APEX HUMINT material that comes to the individual's attention.
2. A compromise of APEX HUMINT material is defined as any one or more of the following:
 - a. Disclosure of a HUMINT document or any of its contents to any individual whose name does not appear on the access list.
 - b. Sanitization and exploitation of HUMINT information without proper clearance and approval.
 - c. Loss of, or inability to account for, a HUMINT document or any notes, sanitization or excerpts drawn from such a document.
 - d. Reproduction of a HUMINT document.
3. Upon being notified of a compromise, the responsible APEX Control Officer will promptly report all details via secure phone to the Program Manager. This notification will be followed by a preliminary written report to be delivered by courier to the Program Manager.
4. The appropriate security elements of the agency in which the compromise occurs will investigate the matter. A full report of the investigation will be made to the head of the agency, with a copy to be delivered by courier to the Program Manager.